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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/043,038	11/07/2001	Ralph B. Campbell	SUN-P6578-PIP	4604
22835	7590	10/12/2005	EXAMINER	
A. RICHARD PARK, REG. NO. 41241 PARK, VAUGHAN & FLEMING LLP 2820 FIFTH STREET DAVIS, CA 95616			MANOSKEY, JOSEPH D	
			ART UNIT	PAPER NUMBER
			2113	

DATE MAILED: 10/12/2005

Please find below and/or attached an Office communication concerning this application or proceeding.

<b>Office Action Summary</b>	<b>Application No.</b>		<b>Applicant(s)</b>	
	10/043,038		CAMPBELL ET AL.	
	<b>Examiner</b>		<b>Art Unit</b>	
		Joseph D. Manoskey		2113

**-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --**

**Period for Reply**

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

**Status**

1) ☒ Responsive to communication(s) filed on 27 July 2005.

2a) ☒ This action is **FINAL**.                      2b) ☐ This action is non-final.

3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

**Disposition of Claims**

4) ☒ Claim(s) 1-5, 7-16, 18-27 and 29-33 is/are pending in the application.

4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.

5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.

6) ☒ Claim(s) 1-5, 7-16, 18-27 and 29-33 is/are rejected.

7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.

8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

**Application Papers**

9) ☐ The specification is objected to by the Examiner.

10) ☒ The drawing(s) filed on 12 March 2002 is/are: a) ☒ accepted or b) ☐ objected to by the Examiner.

Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).

Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).

11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

**Priority under 35 U.S.C. § 119**

12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).

a) ☐ All    b) ☐ Some \* c) ☐ None of:

1. ☐ Certified copies of the priority documents have been received.

2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.

3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

**Attachment(s)**

1) <input type="checkbox"/> Notice of References Cited (PTO-892) 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948) 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08) Paper No(s)/Mail Date _____	4) <input type="checkbox"/> Interview Summary (PTO-413) Paper No(s)/Mail Date. _____ 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152) 6) <input type="checkbox"/> Other: _____
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## **DETAILED ACTION**

### ***Specification***

1. The amendment filed 27 July 2005 is objected to under 35 U.S.C. 132(a) because it introduces new matter into the disclosure. 35 U.S.C. 132(a) states that no amendment shall introduce new matter into the disclosure of the invention. The added material which is not supported by the original disclosure is as follows: The applicant deleted the last four lines of the paragraph on page 5, starting on line 5. This is considered "addition by deletion" and thus adds new matter to the specification. The Examiner requires that these lines be added back to the specification.

Applicant is required to cancel the new matter in the reply to this Office Action.

### ***Claim Rejections - 35 USC § 103***

2. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

3. Claims 1-5, 7-16, 18-27 and 29-33 are rejected under 35 U.S.C. 103(a) as being unpatentable over Frey, Jr. et al., U.S. Patent 5,201,044, hereinafter referred to as "Frey" in view of Flemming, U.S. Patent 6,023,772.

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4. Referring to claim 1, Frey teaches a file-based transaction system that includes transaction log, this is interpreted as a method for logging file system operation (See Col. 1, lines 9-12). Frey discloses the system performing file transactions using user-inaccessible software, this is interpreted as receiving a request to perform a file system operation and making a call to an underlying file system to perform the file system operation (See Col. 3, lines 22-43). Frey teaches the use of a transaction log file to keep track of the progress of all pending transactions and the log file can be used to reconstruct in case of a failure of the system, this is interpreted as logging the file system operation to a log within a log device to facilitate recovery of the file system operation in the event of a system failure before the file system operation is committed to non-volatile storage (See Col. 4, line 53 to Col. 5, line 10). Frey also teaches maintaining transaction data fields which can include the "new" or "modified" data so that a transaction may be "committed" before the base data being modified on the disk and commit means successful completion of the transaction, thus during a failure such a transaction would need to be repeated to be stored on the disk using the "new" or "modified" data in the transaction data field of the log, this is interpreted as wherein the file system operation includes arguments and data needed to repeat the file system operation (See Col. 5, lines 23-29 and Col. 6, lines 5-8).

Frey discloses the types of transactions including a distributed type of transaction that includes several nodes and each server maintains its own independent log, this is seen as each server has a log file that records all the information of the distributed transactions, which includes the transaction information that occurs on separate servers

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(See Col. 5, lines 53-56). This is interpreted as request to perform the file system operation is received at a primary server in a highly available system, the log is located on a secondary server that is separate from the primary server in the highly available system, and that acts as a backup for the primary server.

Frey does not disclose wherein locating the log on the secondary server facilitates failover to the secondary server when the primary server fails, however Frey does teach the use of a logging system which assures distributed file system consistency in the event of a system malfunction and thus provides for rapid file system recovery (See Col. 3, lines 15-20). Flemming teaches upon the failure of a primary unit, failover occurs to a secondary unit using the contents of a log to update its state (See Col. 11, lines 21-26). It would have been obvious to one of ordinary skill in the art at the time of the invention to combine the failover using logs of Flemming with the log recovery system of Frey. This would have been obvious to one of ordinary skill in the art at the time of the invention to do because the second unit takes over for the malfunctioned primary unit, thus providing a rapid recovery (See Flemming, Col. 11, lines 21-26).

5. Referring to claim 2, Frey and Flemming disclose all the limitations (See rejection of claim 1) including the use of unique identification numbers for the transactions in the log (See Frey, Col. 5, lines 34-35).

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6. Referring to claim 3, Frey and Flemming teach all the limitations (See rejection of claim 1) including the use of a commit procedure, this is interpreted as freezing ongoing activity and making a call to the file system to flush memory buffers to non-volatile storage, which guarantees operations are committed to non-volatile storage and later unfreezing ongoing activity (See Col. 5, lines 23-33). Frey also teaches that all old completed transactions are discarded, this is interpreted as removing outstanding file system operations from the log (See Col. 5, lines 11-12).

7. Referring to claim 4, Frey and Flemming disclose all the limitations (See rejection of claim 1) including a recovery procedure that involves reading the log file, this is interpreted as upon a subsequent computer system startup examining the log within the log device (See Frey, Col. 9, lines 38-39). Frey also teaches the log file being used to reconstruct the system, this is interpreted as replaying any file system operations from the log that have not been committed to non-volatile storage (See Col. 5, lines 4-7).

8. Referring to claim 5, Frey and Flemming teach all the limitations (See rejection of claim 1) including defining the sequence of actions to be carried out in the transaction, this is interpreted as checking for dependencies between file system operations and ongoing file system operations, and if detected ensuring completion is done in an order that satisfies the dependencies (See Frey, Col. 5, lines 41-43).

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9. Referring to claim 7, Frey and Flemming teach all the limitations (See rejection of claim 1) including the use unique identification numbers for the transactions in the log (See Frey, Col. 5, lines 34-35), and defining the sequence of actions to be carried out in the transaction, this is interpreted as associating the file system operation with a transaction identifier for a set of related file system operations and wherein logging the file system operation involves storing the file system operation with the transaction identifier to the log device (See Frey, Col. 5, lines 41-43).

10. Referring to claim 8, Frey and Flemming disclose all the limitations (See rejection of claim 1) including logging transactions and defining the sequence of actions to be carried out in the transaction, (See Frey, Col. 5, lines 3-4 and lines 41-43). This is interpreted as determining if the file system operation belongs to a subset of file system operations that are subject to logging and if so, logging the file system operation.

11. Referring to claim 9, Frey and Flemming teach all the limitations (See rejection of claim 8) including subset including operations such as parity update (See Frey, Col. 5, lines 41-43). A parity update will be deferent every time you perform the operation because the data is different, this is interpreted as the operation being non-idempotent.

12. Referring to claims 10 and 11, Frey and Flemming teach all the limitations (See rejection of claim 1 ) including the log file spanning both volatile and non-volatile memory (See Frey, Col. 3, lines 31-32).



13. Referring to claim 12, Frey teaches a file-based transaction system that includes a transaction log and software for performing the system, this is interpreted as a computer-readable storage medium storing instructions when executed by a computer to perform a method for logging file system operation (See Col. 1, lines 9-12). Frey discloses the system performing file transactions using user-inaccessible software, this is interpreted as receiving a request to perform a file system operation and making a call to an underlying file system to perform the file system operation (See Col. 3, lines 22-43). Frey teaches the use of a transaction log file to keep track of the progress of all pending transactions and the log file can be used to reconstruct in case of a failure of the system, this is interpreted as logging the file system operation to a log within a log device to facilitate recovery of the file system operation in the event of a system failure before the file system operation is committed to non-volatile storage (See Col. 4, line 53 to Col. 5, line 10). Frey also teaches maintaining transaction data fields which can include the "new" or "modified" data so that a transaction may be "committed" before the base data being modified on the disk and commit means successful completion of the transaction, thus during a failure such a transaction would need to be repeated to be stored on the disk using the "new" or "modified" data in the transaction data field of the log, this is interpreted as wherein the file system operation includes arguments and data needed to repeat the file system operation (See Col. 5, lines 23-29 and Col. 6, lines 5-8).



Frey discloses the types of transactions including a distributed type of transaction that includes several nodes and each server maintains its own independent log, this is seen as each server has a log file that records all the information of the distributed transactions, which includes the transaction information that occurs on separate servers (See Col. 5, lines 53-56). This is interpreted as request to perform the file system operation is received at a primary server in a highly available system, the log is located on a secondary server that is separate from the primary server in the highly available system, and that acts as a backup for the primary server.

Frey does not disclose wherein locating the log on the secondary server facilitates failover to the secondary server when the primary server fails, however Frey does teach the use of a logging system which assures distributed file system consistency in the event of a system malfunction and thus provides for rapid file system recovery (See Col. 3, lines 15-20). Flemming teaches upon the failure of a primary unit, failover occurs to a secondary unit using the contents of a log to update its state (See Col. 11, lines 21-26). It would have been obvious to one of ordinary skill in the art at the time of the invention to combine the failover using logs of Flemming with the log recovery system of Frey. This would have been obvious to one of ordinary skill in the art at the time of the invention to do because the second unit takes over for the malfunctioned primary unit, thus providing a rapid recovery (See Flemming, Col. 11, lines 21-26).

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14. Referring to claim 13, Frey and Flemming disclose all the limitations (See rejection of claim 12) including the use unique identification numbers for the transactions in the log (See Frey, Col. 5, lines 34-35).

15. Referring to claim 14, Frey and Flemming teach all the limitations (See rejection of claim 12) including the use of a commit procedure, this is interpreted as freezing ongoing activity and making a call to the file system to flush memory buffers to non-volatile storage, which guarantees operations are committed to non-volatile storage and later unfreezing ongoing activity (See Frey, Col. 5, lines 23-33). Frey also teaches that all old completed transactions are discarded, this is interpreted as removing outstanding file system operations from the log (See Col. 5, lines 11-12).

16. Referring to claim 15, Frey and Flemming disclose all the limitations (See rejection of claim 12) including a recovery procedure that involves reading the log file, this is interpreted as upon a subsequent computer system startup examining the log within the log device (See Frey, Col. 9, lines 38-39). Frey also teaches the log file being used to reconstruct the system, this is interpreted as replaying any file system operations from the log that have not been committed to non-volatile storage (See Col. 5, lines 4-7).

17. Referring to claim 16, Frey and Flemming teach all the limitations (See rejection of claim 12) including defining the sequence of actions to be carried out in the

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transaction, this is interpreted as checking for dependencies between file system operations and ongoing file system operations, and if detected ensuring completion is done in an order that satisfies the dependencies (See Frey, Col. 5, lines 41-43).

18. Referring to claim 18, Frey and Flemming teach all the limitations (See rejection of claim 12) including the use unique identification numbers for the transactions in the log (See Frey, Col. 5, lines 34-35), and defining the sequence of actions to be carried out in the transaction, this is interpreted as associating the file system operation with a transaction identifier for a set of related file system operations and wherein logging the file system operation involves storing the file system operation with the transaction identifier to the log device (See Frey, Col. 5, lines 41-43).

19. Referring to claim 19, Frey and Flemming disclose all the limitations (See rejection of claim 12) including logging transactions and defining the sequence of actions to be carried out in the transaction, (See Frey, Col. 5, lines 3-4 and lines 41-43). This is interpreted as determining if the file system operation belongs to a subset of file system operations that are subject to logging and if so, logging the file system operation.

20. Referring to claim 20, Frey and Flemming teach all the limitations (See rejection of claim 19) including subset including operations such as parity update (See Frey, Col.

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5, lines 41-43). A parity update will be deferent every time you perform the operation because the data is different, this is interpreted as the operation being non-idempotent.

21. Referring to claims 21 and 22, Frey and Flemming teach all the limitations (See rejection of claim 12) including the log file spanning both volatile and non-volatile memory (See Frey, Col. 3, lines 31-32).

22. Referring to claim 23, Frey teaches a file-based transaction system that includes a transaction log (See Col. 1, lines 9-12). Frey discloses the system performing file transactions using user-inaccessible software, this is interpreted as receiving a request to perform a file system operation and making a call to an underlying file system to perform the file system operation (See Col. 3, lines 22-43). Frey teaches the use of a transaction log file to keep track of the progress of all pending transactions and the log file can be used to reconstruct in case of a failure of the system, this is interpreted as logging the file system operation to a log within a log device to facilitate recovery of the file system operation in the event of a system failure before the file system operation is committed to non-volatile storage (See Col. 4, line 53 to Col. 5, line 10). Frey also teaches maintaining transaction data fields which can include the "new" or "modified" data so that a transaction may be "committed" before the base data being modified on the disk and commit means successful completion of the transaction, thus during a failure such a transaction would need to be repeated to be stored on the disk using the "new" or "modified" data in the transaction data field of the log, this is interpreted as

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wherein the file system operation includes arguments and data needed to repeat the file system operation (See Col. 5, lines 23-29 and Col. 6, lines 5-8).

Frey discloses the types of transactions including a distributed type of transaction that includes several nodes and each server maintains its own independent log, this is seen as each server has a log file that records all the information of the distributed transactions, which includes the transaction information that occurs on separate servers (See Col. 5, lines 53-56). This is interpreted as the receiving mechanism is located within a primary server in a highly available system, wherein the log device is located within a secondary server that is separate from the primary server in the highly available system and acts as a backup for the primary server.

Frey does not disclose wherein locating the log on the secondary server facilitates failover to the secondary server when the primary server fails, however Frey does teach the use of a logging system which assures distributed file system consistency in the event of a system malfunction and thus provides for rapid file system recovery (See Col. 3, lines 15-20). Flemming teaches upon the failure of a primary unit, failover occurs to a secondary unit using the contents of a log to update its state (See Col. 11, lines 21-26). It would have been obvious to one of ordinary skill in the art at the time of the invention to combine the failover using logs of Flemming with the log recovery system of Frey. This would have been obvious to one of ordinary skill in the art at the time of the invention to do because the second unit takes over for the malfunctioned primary unit, thus providing a rapid recovery (See Flemming, Col. 11, lines 21-26).

23. Referring to claim 24, Frey and Flemming disclose all the limitations (See rejection of claim 23) including the use unique identification numbers for the transactions in the log (See Frey, Col. 5, lines 34-35).

24. Referring to claim 25, Frey and Flemming teach all the limitations (See rejection of claim 23) including the use of a commit procedure, this is interpreted as freezing ongoing activity and making a call to the file system to flush memory buffers to non-volatile storage, which guarantees operations are committed to non-volatile storage and later unfreezing ongoing activity (See Frey, Col. 5, lines 23-33). Frey also teaches that all old completed transactions are discarded, this is interpreted as removing outstanding file system operations from the log (See Col. 5, lines 11-12).

25. Referring to claim 26, Frey and Flemming disclose all the limitations (See rejection of claim 23) including a recovery procedure that involves reading the log file, this is interpreted as upon a subsequent computer system startup examining the log within the log device (See Frey, Col. 9, lines 38-39). Frey also teaches the log file being used to reconstruct the system, this is interpreted as replaying any file system operations from the log that have not been committed to non-volatile storage (See Col. 5, lines 4-7).

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26. Referring to claim 27, Frey and Flemming teach all the limitations (See rejection of claim 23) including defining the sequence of actions to be carried out in the transaction, this is interpreted as checking for dependencies between file system operations and ongoing file system operations, and if detected ensuring completion is done in an order that satisfies the dependencies (See Frey, Col. 5, lines 41-43).

27. Referring to claim 29, Frey and Flemming teach all the limitations (See rejection of claim 23) including the use unique identification numbers for the transactions in the log (See Frey, Col. 5, lines 34-35), and defining the sequence of actions to be carried out in the transaction, this is interpreted as associating the file system operation with a transaction identifier for a set of related file system operations and wherein logging the file system operation involves storing the file system operation with the transaction identifier to the log device (See Frey, Col. 5, lines 41-43).

28. Referring to claim 30, Frey and Flemming disclose all the limitations (See rejection of claim 23) including logging transactions and defining the sequence of actions to be carried out in the transaction, (See Frey, Col. 5, lines 3-4 and lines 41-43). This is interpreted as determining if the file system operation belongs to a subset of file system operations that are subject to logging and if so, logging the file system operation.



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29. Referring to claim 31, Frey and Flemming teach all the limitations (See rejection of claim 30) including subset including operations such as parity update (See Frey, Col. 5, lines 41-43). A parity update will be deferent every time you perform the operation because the data is different, this is interpreted as the operation being non-idempotent.

30. Referring to claims 32 and 33, Frey and Flemming teach all the limitations (See rejection of claim 23) including the log file spanning both volatile and non-volatile memory (See Frey, Col. 3, lines 31-32).

### ***Response to Arguments***

31. Applicant's arguments, see page 22 of amendment, filed 27 July 2005, with respect to claims 12-16 and 18-22 have been fully considered and are persuasive. The 35 U.S.C. 101 rejection of claims 12-16 and 18-22 has been withdrawn. Concerning the new matter objection, when the removed material is re-entered into the specification, claims 12-16 and 18-22 will still be considered to be statutory with regards to 35 U.S.C. 101.

32. Applicant's arguments filed 27 July 2005, have been fully considered but they are not persuasive. The Applicant argues that Frey and Flemming do not teach storing file system operations along with information needed to perform the file system operation in a log file in order to recover the file system operation in case of failover. The Examiner

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respectfully disagrees. Frey teaches maintaining transaction data fields which can include the "new" or "modified" data so that a transaction may be "committed" before the base data being modified on the disk and commit means successful completion of the transaction, thus during a failure such a transaction would need to be repeated to be stored on the disk using the "new" or "modified" data in the transaction data field of the log, this is interpreted as wherein the file system operation includes arguments and data needed to repeat the file system operation (See Col. 5, lines 23-29 and Col. 6, lines 5-8). The above rejections have been modified to include this clarification.

### ***Conclusion***

33. **THIS ACTION IS MADE FINAL.** Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire **THREE MONTHS** from the mailing date of this action. In the event a first reply is filed within **TWO MONTHS** of the mailing date of this final action and the advisory action is not mailed until after the end of the **THREE-MONTH** shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than **SIX MONTHS** from the mailing date of this final action.

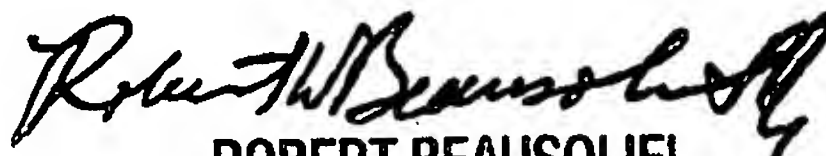
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Any inquiry concerning this communication or earlier communications from the examiner should be directed to Joseph D. Manoskey whose telephone number is (571) 272-3648. The examiner can normally be reached on Mon.-Fri. (7:30am to 4pm).

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Robert Beausoliel can be reached on (571) 272-3645. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

JDM  
October 6, 2005

  
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